

Common Business Functions for Correctional Management Systems



IJIS Institute



Volume 2 – Business Scenarios
Part D – Caseload Management

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Corrections Technology Association*

8 December 2015 – v2.0

Revision History		
Version 1.0	June 2004	Original Document
Version 1.1	June 2015	Content Revision
Version 1.2	Nov. 2015	Technical Edit and Formatting
Version 2.0	Dec. 2015	Final Edits and Version Completion

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1. BUSINESS FUNCTION: CASELOAD MANAGEMENT

Offender caseload management is the process used by institutional and community corrections service providers to structure the risk levels of clients and determine the program and security strategies to meet the criminogenic needs defined in the management process. Caseload management also provides documentation of events during an offender's incarceration period, and further provides counseling and guidance to the offender while serving as a resource to other areas within the agency and facilities as the offender moves toward community reentry. The system requires the offender to proactively accomplish the treatment program. Periodic progress assessments allow the institutional staff and the offender to set benchmarks for progress; however the dynamics of managing an offender caseload require some discretion and flexibility.

Caseload Management Use Case Diagram

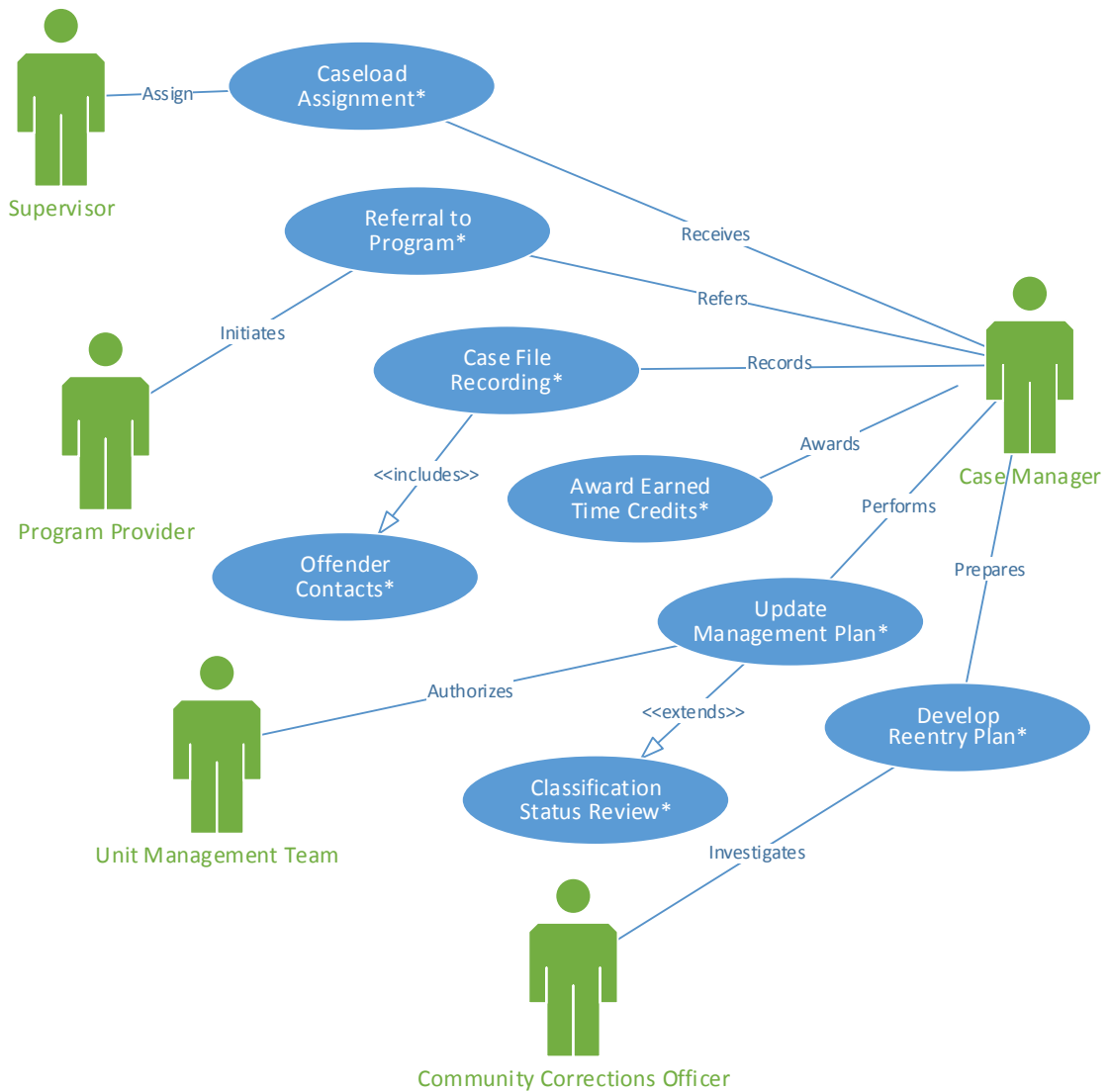


Figure 1: Caseload Use Case Diagram

1.1 Use Case Specification: Caseload Assignment

Upon determination of permanent location and completion of the orientation process, the offender is assigned to a specific case supervisor.

Associated Actor	Relationship	Description
Supervisor	Assign	The assignment of a case manager may be automatic with the specific housing assignments as case managers may be assigned by living unit.
Case Manager	Receives	

Caseload Assignment Activity Diagram

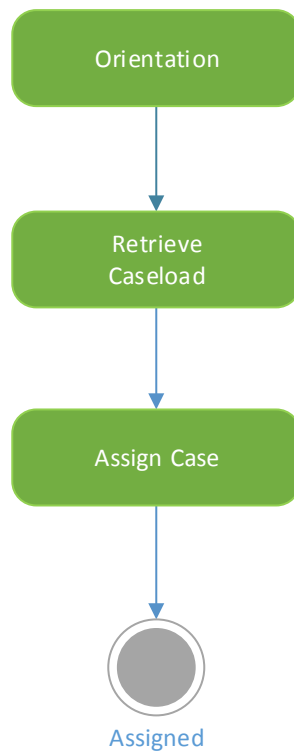


Figure 2: Caseload Assignment Activity Diagram

1.1.1 Flow of Events

Orientation - For offenders just received at a new facility, and in some cases housing unit, staff must acquaint with the existing situation or environment, generally including rules, procedures, and operating guidelines for the assignment. The orientation will be logged as well as any information gathered from the offender, which may impact housing and case manager assignment.

For offenders arriving in community this may also include a reassessment prior to assignment.

- Data provided: Interview Data.

Retrieve Caseload - An assigned caseload will be associated with a staff person responsible for managing offenders. The caseload must be able to be obtained by workload information and individual offenders assigned. This list will often indicate offender information such as level of supervision required and upcoming events.

- Data provided: Caseload.

Assign Case - Offender is assigned to a specific case manager/community corrections officer, this may be based on a rotation, case load weighting, the offender's needs, or as a direct result of the bed/area assignment. Upon assignment the offender will appear immediately on the staff person's caseload.

Pre-Condition	Description
None	
Post-Condition	Description
Assigned	Assignment is where a relationship has been established between a staff member and an offender, or activities. Examples include enrollment of the offender in an education program or listing an offender on a case load. In some instances assignment is the retention of an existing assignment after a review process is performed and the relationship continues as it was prior to the

1.2 Use Case Specification: Referral to Program

The offender management plan is used to produce a referral to a particular program. This referral is based upon the initial assessment of the offender, and the ongoing assessments of progress throughout the incarceration period. The need areas or specific programs may be identified with a priority ranking. The ranking is to ensure the most important need areas are addressed.

Associated Actor	Relationship	Description
Case Manager	Refers	Offenders may initiate a referral but in most instances there is a staff representative that will initiate the referral on behalf of the offender. Therefore the offender is not shown as an actor to Referral to Program.
Program Provider	Initiates	The Program Provider may not be involved in the referral process. Their role as initiator or acceptor may be not exist or may be limited.

- Special Requirements:

Standard	Description
ACA Standard: Classification Plan 4-4096: Transfer of Records	Written policy, procedure, and practice provide that an updated case file for any inmate transferred from one institution to another is transferred simultaneously, or, at the latest, within 72 hours.

Referral to Program Activity Diagram

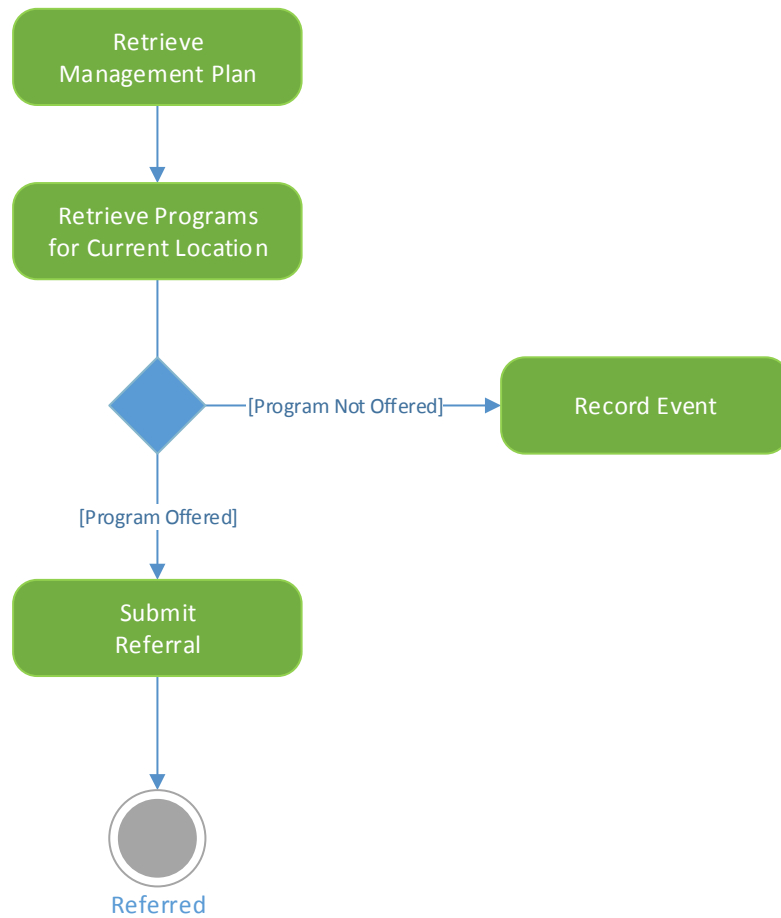


Figure 3: Referral to Program Activity Diagram

1.2.1 Flow of Events

Retrieve Management Plan - The current management plan for a specified offender will be obtained for review. The management plan will indicate areas the offender is required to address during the incarceration period and may include specific programs in which the offender is encouraged to participate.

- Data provided: Program Name.

Retrieve Programs for Current Location - A listing of current programs with summary information about the program will be obtained for reference. Summary information will include program availability for any given location, a synopsis of program purpose and content, capacity, prerequisites, etc.

- Data provided: Program Identifiers, Activity Schedule, Program Needs Data.
- Alternative Flows:

Detail
The offender may be put on a waiting list even if program is not offered at the current facility. The management plan may be updated to reflect program’s current unavailability.

(If program offered) Submit Referral - The referral will be entered specifying the time of the referral, the program, the areas to be addressed by the program/placement, and any pertinent history. The entry should trigger an event for the program provider or reviewing supervisory staff.

- Data provided: Referral.

(If program not offered) Record Event - The creation of an entry for an event or outcome containing essential information for future retrieval and use by correctional staff.

Pre-Condition	Description
None	
Post-Condition	Description
Referred	When a process is completed that results in a referral of an offender to attend, participate, or some form of assignment, the offender is in a state of referral. This state donates a review process will be conducted and an approval/acceptance or rejection/denial decision will result.

1.3 Use Case Specification: Case File Recording

The offender’s activities, adjustment and progress during incarceration and post supervision are documented and recorded in a log. The recording is primarily intended to document events not otherwise recorded through their own unique activities. Such examples would be offender informal complaints, requests, contacts, etc. The log could also back up other information recorded through other means.

Associated Actor	Relationship	Description
Case Manager	Record	

- Special Requirements:

Standard	Description
ACA Standard: Inmate Access to Records 4- 4098 Inmate Access to Records	Written policy and procedure govern inmate's access to information in their case records. Comments: Inmates should have access to their case records and files consistent with applicable statutes regarding the procedures and conditions for reviewing these materials. Exceptions should be based on possible harm to the inmate or others.
ACA Standard: Release of Information 4-4099 Release of Information	The institution uses a <i>release of information consent</i> form that complies with applicable federal and state regulations. Unless the release of information is required by statute, the inmate signs the consent form prior to the release of information and a copy of the form is maintained in the inmate's case record.

Case File Recording Activity Diagram

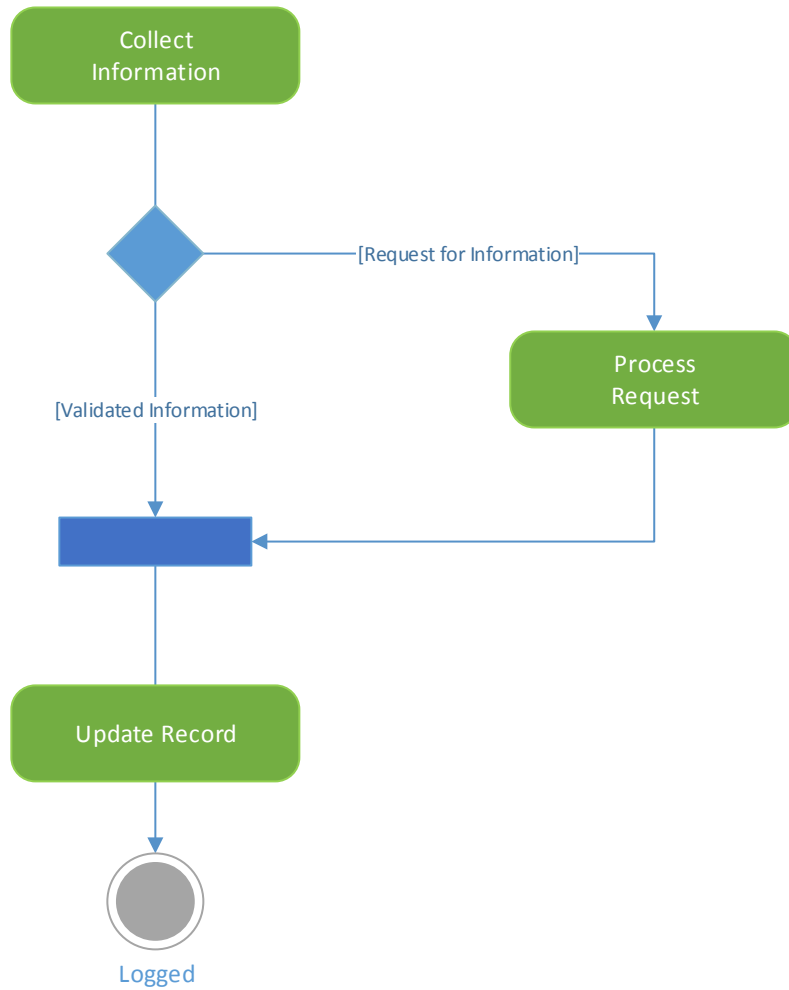


Figure 4: Case File Recording Activity Diagram

1.3.1 Flow of Events

Collect Information - Information will be collected from one or more sources, in various forms such as self-reported, visual or observed, and documented information.

- Data provided: Offender Profile Data, Offender Profile Data, Request Document.
- Alternative Flows:

Detail
This may be done by the case manager or records staff depending on the type of request and department policy.

(If Request for information) Process Request - Requests for offender information are processed according to information release procedures.

- Data provided: Authorization Data.
- Special Requirements:

Standard	Description
ACA Standard: Inmate Access to Records 4- 4098 Inmate Access to Records	Written policy and procedure govern inmate's access to information in their case records. Comments: Inmates should have access to their case records and files consistent with applicable statutes regarding the procedures and conditions for reviewing these materials. Exceptions should be based on possible harm to the inmate or others.
ACA Standard: Release of Information 4-4099 Release of Information	The institution uses a <i>release of information consent</i> form that complies with applicable federal and state regulations. Unless the release of information is required by statute, the inmate signs the consent form prior to the release of information and a copy of the form is maintained in the inmate's case record.

Update Record - When information is obtained for an established record, the pre-existing information in the record is amended or an addendum is added for future reference or communication.

Pre-Condition	Description
None	
Post-Condition	Description
Logged	Information has been recorded and is now available for future reference.

1.4 Use Case Specification: Offender Contacts

The case manager or unit management staff will typically document all contacts, and maintains a continuous log with time and date. The case manager meets with the offender periodically to review progress and focus the offender into the critical path programs. The case manager will address subject areas involving discipline and adjustment, informal grievances, visitation, phone calls, trust account access, commissary, housing assignments, separation/custody, pre-release preparation, parole plans, emergency contact, and a number of others relative to the offender progression during the incarceration period.

Offender Contacts Activity Diagram

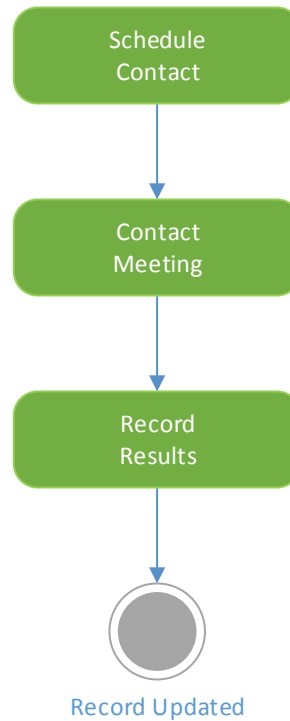


Figure 5: Offender Contacts Activity Diagram

1.4.1 Flow of Events

Schedule Contact - Instances where the offender and staff person need to communicate, a method is developed to establish the contact by appropriate means. Generally this involves defining a date and time for the contact and sending appropriate notification to participants. In some instances a response is solicited to accept or not accept the scheduled contact. Where the contact involves offenders, the notification is in the form of an order to appear. The offender may have initiated the contact by sending in a kite.

- Data provided: Offender Identifiers, Date/Time, Location.

Contact Meeting - Staff and the offender meet in a specific location, on a date and time that were predetermined, to exchange information on a subject that was identified during the scheduling process.

- Data provided: Contact Log.

Record Results - When an event is completed, some form of documentation of the results of the event will be developed. Generally, all offender contacts are documented in a log that includes notes about the contact and the date and time the contact occurred. Offender management is enhanced when contact logs from multiple service areas are maintained in a central repository to allow information exchange that will aid correctional staff in offender management tasks.

Pre-Condition	Description
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None	
Post-Condition	Description
Record Updated	Instances where a record is successfully updated in a database or other record keeping system.

1.5 Use Case Specification: Award Earned Time Credits

Most states use a good time credit system as an incentive to serve disciplinary-free incarceration. Earned time credit is a reward for positive behavior during the incarceration period. These credits are earned when the inmate participates in prison programs or activities, such as education or vocational training. The amount of earned credit is determined by predefined rules, and awarded at prescribed review periods. When the offender behavior during their incarceration is determined to be unacceptable, the credits are revoked as the result of a disciplinary sanction.

Award Earned Time Credits Activity Diagram

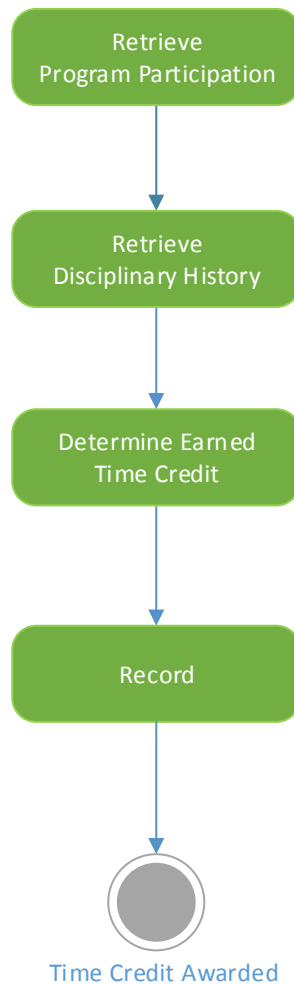


Figure 6: Award Earned Time Credits Activity Diagram

Associated Actor	Relationship	Description
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Case Manager	Awards	Earned time credit may not be an incentive in a given jurisdiction. Where earned credit time is an option, the case manager, based on adherence to the management plan, may award earned credit time. The award may also occur automatically as a result of the input from program providers while reporting into the system. The role of awarding earned time credits may be designated to correctional staff other than the case manager. Successful completion of a program may not be a factor in awarding time credits.
Program Provider	Initiates	The Program Provider may not be involved in the referral process. Their role as initiator or acceptor may not exist or may be limited.

- Special Requirements:

Standard	Description
ACA Standard: Classification Plan 4-4097: Computation of Time Served	Written policy, procedure, and practice provide that inmate time is accurately computed and recorded in conformance with applicable statutes and regulations. Comment: The accurate computation and recording of any good time earned or time forfeited is vital for incarcerated persons. Each inmate’s case file should include an up-to-date record of time and time remaining.

1.5.1 Flow of Events

Retrieve Program Participation - Offender program participation should include the status in the program, whether currently assigned, attendance and the level of participation the offender put forward. This information is needed in measuring program performance as it relates to the offender’s identified needs.

- Data provided: Program Participation.

Retrieve Disciplinary History - Obtain the disciplinary information associated with an offender during their incarceration period.

- Data provided: Disciplinary History.

Determine Time Credit Award - A review of criteria defined whereby an offender can earn time credits and determine the amount of time that should be granted. This review will consider program positive participation and disciplinary actions and make adjustments to time credit awards based on authorized time reductions credits and disciplinary actions. The award is generally limited by sentencing guidelines that specify a maximum credit amount. The time credit granted may be any amount up to the maximum allowed, to as little as no time credit granted. In either case the result is earn time credits granted.

- Data provided: Earned Time Award.

Detail
The award of time credits is an explicit result of this activity. The result may be an award of zero time credits or any amount greater within prescribed limits.

Record - The act of documenting any form of action, decision, or information that is to be placed among official records.

Pre-Condition	Description
None	
Post-Condition	Description
Time Credit Awarded	

1.6 Use Case Specification: Update Management Plan

The management plan will periodically require updating, based on changes in offender needs, program participation, test scores, or other related behavior. The review period may be based on a annual or semi-annual review, or based on an event such as behavior.

Associated Actor	Relationship	Description
Case Manager	Performs	
Unit Management Team	Authorizes	Not all jurisdictions will utilize a management team at the offender planning level. The team or review committee may only become involved when key decisions on assignments are being considered.

1.6.1 Flow of Events

Retrieve Management Plan - The current management plan for a specified offender will be obtained for review. The management plan will indicate areas the offender is required to address during the incarceration period and may include specific programs in which the offender is encouraged to participate.

- Data provided: Program Plan, Program Data.

Retrieve Program Needs - To begin a process where program needs are considered the assessment information is retrieved from the record storage location. This action requires offender identifiers be used to obtain the assessment information for a specified offender.

- Data provided: Program Needs Data, Program Holds.

Update Management Plan Activity Diagram

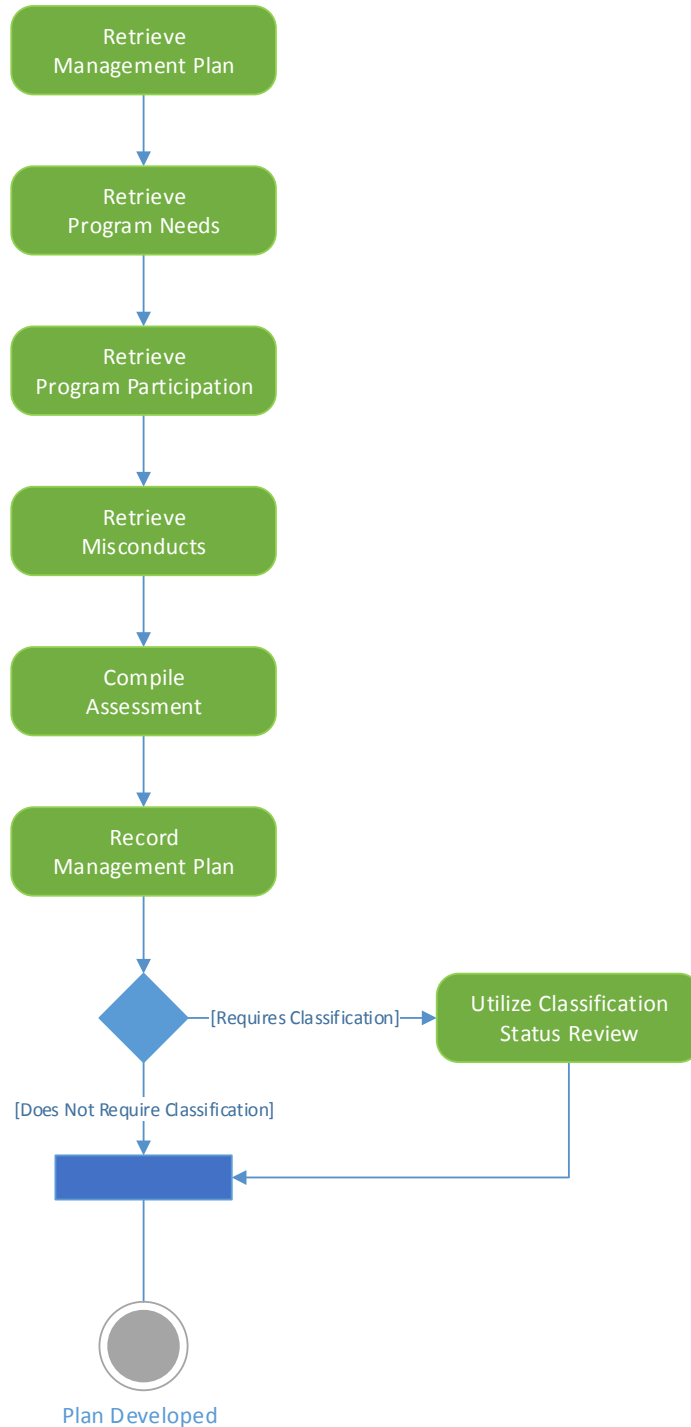


Figure 7: Update Management Plan Activity Diagram

Retrieve Program Participation - Offender program participation should include the status in the program, whether currently assigned, attendance and the level of participation the offender put forward. This information is needed in measuring program performance as it relates to the offender’s identified needs.

- Data provided: Program Participation, Performance Rating.

Retrieve Misconducts - Misconduct and Infraction history must be available at the time of scoring as it is used significantly in a reclassification instrument. The facility response to the infraction may be the triggering event in determining the need for a classification to take place.

- Data provided: Misconducts and Infractions.

Compile Assessment - When a review of multiple assessments is performed they must be collected and assimilated.

- Data provided: Program Plan.

Record Management Plan - The management plan is entered and becomes a dynamic document to be used to measure accountability throughout the incarceration period. The plan may also be adjusted as the offender progresses or demonstrates additional behavior requiring intervention.

(If requires classification) Utilize Classification Status Review - The case manager monitors events that require routine mandatory classification actions or initiates discretionary classification action under the case manger's authority.

Pre-Condition	Description
None	
Post-Condition	Description
Plan Developed	This is the final product of an offender needs assessment and the development of a plan for program participation to address identified needs.

1.7 Use Case Specification: Classification Status Review

The case manager monitors events that require routine mandatory classification actions or initiates discretionary classification action under the case manger's authority.

1.7.1 Flow of Events

Retrieve Custody Status List - A classification tracking list is generated for offenders scheduled at a pre-set time for consideration, either through routine time requirements, or due to prescribed aggravating or mitigating factors. The offenders may be in various stages of consideration, and the list will provide offenders relevant to the staff person's role and the stage they are interested in viewing.

- Data provided: Next classification date, Offender Identifiers, Classification Change Reason.
- Alternative Flows:

Detail
Classification review may be performed following a defined time schedule. Some jurisdictions review every six months during the first three years and the last three years of incarceration.

Classification Status Review Activity Diagram

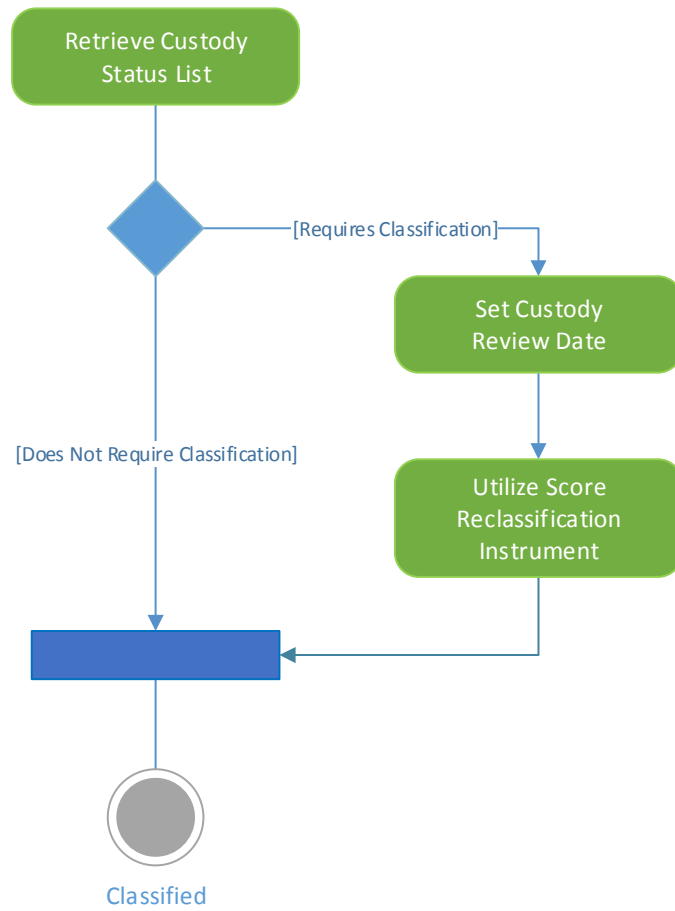


Figure 8: Classification Status Review Activity Diagram

- Special Requirements:

Standard	Description
ACA Standard: Classification Status Reviews 4-4300: Classification status review	The written plan for inmate classification specifies that each inmate’s classification status is reviewed at least every 12 months.

(If requires classification) Set Custody Review Date - If an offender requires classification as a result of appearing on the custody status list, there will be a mechanism to initiate the process and schedule the classification.

- Data provided: Classification Date.

Utilize Score Reclassification Instrument - Separate criteria are used once the offender has been previously classified during the current incarceration. This criteria will include institutional behavior.

- Data provided: Next classification date.

Pre-Condition	Description
None	
Post-Condition	Description
Classified	Assigned to a category of custody.

1.8 Use Case Specification: Develop Reentry Plan

The reentry plan determines whether and when the offender will be transitioned to community or post incarceration supervision. States with indeterminate sentences maintain a parole process. States with presumptive sentencing policies define actual prison time and community supervision at the time of sentencing with little variance of time reduction credits. This plan is developed by the case manager with input from the offender. It contains the offender’s plans for reentry to include the sponsor and residential location, employment or education plan, synopsis of current crimes/sentences, criminal history, incarceration adjustments, programs completed, post release treatment recommendations, clinical issues, and other appropriate recommendations.

Develop Reentry Plan Activity Diagram

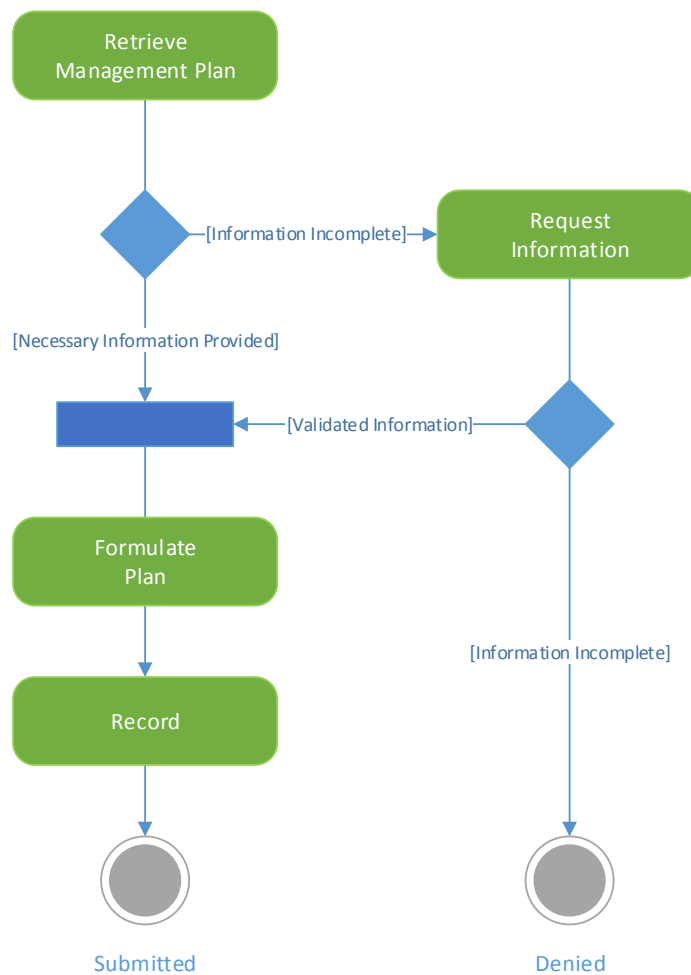


Figure 9: Develop Reentry Plan Activity Diagram

Associated Actor	Relationship	Description
Case Manager	Prepares	The reentry plan may be an update of the management plan with considerations for community placement included, or the reentry plan may be a separate plan with the unique purpose of planning for reentry.
Community Corrections Officer	Investigates	

1.8.1 Flow of Events

Retrieve Management Plan - The current management plan for a specified offender will be obtained for review. The management plan will indicate areas the offender is required to address during the incarceration period and may include specific programs in which the offender is encouraged to participate.

- Data provided: Reentry Information, Reentry Information.

(If information incomplete) Request Information - Information will be solicited and used for one or more purposes. The information generally consists of offender related data elements, but is not restricted to this alone. Family and community support is often considered when developing the reentry plan.

- Data provided: Reentry Information, Reentry Information.

Formulate Plan - Offender risk information and program needs will be compiled to establish accountability objectives to be addressed during the incarceration period. The plan is compiled from the information gathered in the earlier steps of the reception process. The programs outlined in the plan may be set in priority order or just under the heading of each area. Some program needs may be specifically dictated as a result of the offense, they may be acute or chronic and are considered dynamic in nature.

- Data provided: Reentry Plan.

Record - The act of documenting any form of action, decision, or information that is to be placed among official records.

Pre-Condition	Description
None	
Post-Condition	Description
Denied	A review has resulted in a decision to deny a request or action.
Submitted	Any instance whereby a document is prepared or a verbal communication is issued and is offered for consideration, study, or decision.